

FORM PTO-1390 (Modified)
(REV 11-2000)

U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE

ATTORNEY'S DOCKET NUMBER

TRANSMITTAL LETTER TO THE UNITED STATES

DESIGNATED/ELECTED OFFICE (DO/EO/US)

CONCERNING A FILING UNDER 35 U.S.C. 371

COHP-4570

U.S. APPLICATION NO. (IF KNOWN, SEE 37 CFR

10/031209

INTERNATIONAL APPLICATION NO.

PCT/GB00/02549

INTERNATIONAL FILING DATE

10 July 2000

PRIORITY DATE CLAIMED

13 July 1999

TITLE OF INVENTION

INDUCED ABSORPTION FILTER (IAF)

APPLICANT(S) FOR DO/EO/US

Neil A. Boucher and Dennis G. Fischer

Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:

1. ☒ This is a **FIRST** submission of items concerning a filing under 35 U.S.C. 371.
2. ☐ This is a **SECOND** or **SUBSEQUENT** submission of items concerning a filing under 35 U.S.C. 371.
3. ☒ This is an express request to begin national examination procedures (35 U.S.C. 371(f)). The submission must include items (5), (6), (9) and (24) indicated below.
4. ☒ The US has been elected by the expiration of 19 months from the priority date (Article 31).
5. ☒ A copy of the International Application as filed (35 U.S.C. 371 (c) (2))
 - a. ☒ is attached hereto (required only if not communicated by the International Bureau). (Published International Application)
 - b. ☐ has been communicated by the International Bureau.
 - c. ☐ is not required, as the application was filed in the United States Receiving Office (RO/US).
6. ☐ An English language translation of the International Application as filed (35 U.S.C. 371(c)(2)).
 - a. ☐ is attached hereto.
 - b. ☐ has been previously submitted under 35 U.S.C. 154(d)(4).
7. ☒ Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371 (c)(3))
 - a. ☐ are attached hereto (required only if not communicated by the International Bureau).
 - b. ☐ have been communicated by the International Bureau.
 - c. ☐ have not been made; however, the time limit for making such amendments has NOT expired.
 - d. ☒ have not been made and will not be made.
8. ☐ An English language translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371(c)(3)).
9. ☒ An oath or declaration of the inventor(s) (35 U.S.C. 371 (c)(4)). (unsigned)
10. ☐ An English language translation of the annexes to the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371 (c)(5)).
11. ☒ A copy of the International Preliminary Examination Report (PCT/IPEA/409).
12. ☒ A copy of the International Search Report (PCT/ISA/210).

Items 13 to 20 below concern document(s) or information included:

13. ☐ An Information Disclosure Statement under 37 CFR 1.97 and 1.98.
14. ☐ An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included.
15. ☒ A **FIRST** preliminary amendment.
16. ☐ A **SECOND** or **SUBSEQUENT** preliminary amendment.
17. ☐ A substitute specification.
18. ☐ A change of power of attorney and/or address letter.
19. ☐ A computer-readable form of the sequence listing in accordance with PCT Rule 13ter.2 and 35 U.S.C. 1.821 - 1.825.
20. ☐ A second copy of the published international application under 35 U.S.C. 154(d)(4).
21. ☐ A second copy of the English language translation of the international application under 35 U.S.C. 154(d)(4).
22. ☒ Certificate of Mailing by Express Mail
23. ☒ Other items or information:

1. A copy of the PCT Request Form;
2. A copy of the Notification of Receipt of Demand; and
3. A copy of the Written Opinion.

U.S. APPLICATION NO. (IF KNOWN, SEE 37 CFR

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24. The following fees are submitted.:

CALCULATIONS PTO USE ONLY

BASIC NATIONAL FEE (37 CFR 1.492 (a) (1) - (5)) :

- ☐ Neither international preliminary examination fee (37 CFR 1.482) nor international search fee (37 CFR 1.445(a)(2)) paid to USPTO and International Search Report not prepared by the EPO or JPO **\$1040.00**
- ☒ International preliminary examination fee (37 CFR 1.482) not paid to USPTO but International Search Report prepared by the EPO or JPO **\$890.00**
- ☐ International preliminary examination fee (37 CFR 1.482) not paid to USPTO but international search fee (37 CFR 1.445(a)(2)) paid to USPTO **\$740.00**
- ☐ International preliminary examination fee (37 CFR 1.482) paid to USPTO but all claims did not satisfy provisions of PCT Article 33(1)-(4) **\$710.00**
- ☐ International preliminary examination fee (37 CFR 1.482) paid to USPTO and all claims satisfied provisions of PCT Article 33(1)-(4) **\$100.00**

ENTER APPROPRIATE BASIC FEE AMOUNT =**\$890.00**

Surcharge of **\$130.00** for furnishing the oath or declaration later than ☐ 20 ☐ 30 months from the earliest claimed priority date (37 CFR 1.492 (e)).

\$0.00

CLAIMS	NUMBER FILED	NUMBER EXTRA	RATE
Total claims	15 - 20 =	0	x \$18.00
Independent claims	1 - 3 =	0	x \$84.00

\$0.00**\$0.00**Multiple Dependent Claims (check if applicable) ☐**\$0.00****TOTAL OF ABOVE CALCULATIONS =****\$890.00**

- ☐ Applicant claims small entity status. See 37 CFR 1.27). The fees indicated above are reduced by 1/2.

\$0.00**SUBTOTAL =****\$890.00**

Processing fee of **\$130.00** for furnishing the English translation later than ☐ 20 ☐ 30 months from the earliest claimed priority date (37 CFR 1.492 (f)).

\$0.00**TOTAL NATIONAL FEE =****\$890.00**

Fee for recording the enclosed assignment (37 CFR 1.21(h)). The assignment must be accompanied by an appropriate cover sheet (37 CFR 3.28, 3.31) (check if applicable).

\$0.00**TOTAL FEES ENCLOSED =****\$890.00**Amount to be:
refunded

\$

charged

\$

- a. ☒ A check in the amount of **\$890.00** to cover the above fees is enclosed.
- b. ☐ Please charge my Deposit Account No. _____ in the amount of _____ to cover the above fees. A duplicate copy of this sheet is enclosed.
- c. ☒ The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any overpayment to Deposit Account No. **50-1703** A duplicate copy of this sheet is enclosed.
- d. ☐ Fees are to be charged to a credit card. **WARNING:** Information on this form may become public. **Credit card information should not be included on this form.** Provide credit card information and authorization on PTO-2038.

NOTE: Where an appropriate time limit under 37 CFR 1.494 or 1.495 has not been met, a petition to revive (37 CFR 1.137(a) or (b)) must be filed and granted to restore the application to pending status.

SEND ALL CORRESPONDENCE TO:

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NAME

29,444

REGISTRATION NUMBER

January 10, 2002

DATE

10/031209

PATENT

-1-

531 Rec'd PCT/PTC 11 JAN 2002

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Patent Application of

Neil A. Boucher et al.

Application No.: NEW

Filed: HERewith

For: INDUCED ABSORPTION FILTER
(IAF)

Group Art Unit: Unknown

Examiner: Unknown

PRELIMINARY AMENDMENT

121 Spear Street, Suite 290
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Commissioner for Patents
Washington, D.C. 20231

Sir:

Prior to Examining the above-identified application, please amend the claims as follows:

IN THE CLAIMS:

Please amend claims 1 to 8, 10 to 14, 17 and 18 as shown below. Please cancel claims 9, 15, 16, and 19 to 24.

1. (Amended) An optical filter comprising;

a dielectric stack of alternating relatively high and low refractive index layers;

an opaque, reflective metallic layer; and

a dielectric spacer layer located between the dielectric stack and the metallic layer, the filter having a resonant wavelength, at which wavelength incident radiation is channelled into, and absorbed by, the metallic layer.

2. (amended) An optical filter, as claimed in claim 1, wherein the dielectric spacer layer has the same composition and thickness as one of the constituent layers in the dielectric stack.

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3. (amended) An optical filter, as claimed in claim 1, wherein one of the dielectric stack and spacer layer, varies in thickness spatially, over the metallic layer.

4. (amended) An optical filter, as claimed in claim 1, wherein one of the dielectric stack, and spacer layer, thickness varies circularly over the metallic layer.

5. (amended) An optical filter, as claimed in claim 1, wherein one of the dielectric stack, and spacer layer thickness varies linearly over the metallic layer.

6. (amended) An optical filter as recited in claim 1 wherein the wavelength absorbed varies with linear and/or rotational position of the stack and/or space, in relation to incident light.

7. (amended) An optical filter as recited in claim 1 wherein the spacer layer is formed from a low refractive index material and is equal to even integer multiples of a quarter-wave optical thickness, including a zero (absentee layer), and symbolically described as;

Substrate / M nL (HL)^x H / ambient

where:

M is the metal mirror thin film;

n = 0,2,4,6, etc...; even integer multiples of the quarter wave optical thickness of the spacer layer; and

H and L represent quarter wave optical thicknesses respectively of the high and low refractive index layers.

8. (amended) An optical filter as recited in claim 1 wherein the spacer layer is formed from a low refractive index material and is equal to odd integer multiples of quarter-wave (optical thickness), symbolically described as;

Substrate / M nH (LH)^x / ambient

where:

M is the metal mirror thin film;

$n = 0, 1, 3, 5, 7, \dots$, odd integer multiples of the quarter wave optical thickness of the spacer layer; and H and L represent quarter wave optical thicknesses respectively of the high and low refractive index layers.

Claim 9 deleted

10. (amended) An optical filter as recited in claim 1 further comprising a tiered multi-layer stacking sequence of:

Substrate / M H (LH)⁴ / ambient where H and L equal one quarter-wave optical thicknesses, of relatively high and low refractive index materials, respectively, zinc sulphide and thorium flouride.

11. (amended) An optical filter as recited in claim 1 further comprising a tiered multi-layer stacking sequence of:

Substrate / M HHH (LH)⁴ / ambient

where H and L equal one quarter-wave optical thicknesses, of relatively high and low refractive index materials, respectively, zinc sulphide and thorium flouride.

12. (amended) An optical filter as recited in claim 1 further comprising a tiered multi-layer stacking sequence of:

Substrate / M (HL)²xH(LH)² / ambient where H and L equal one quarter-wave optical thickness, of relatively high and low refractive index materials, respectively, zinc sulphide and thorium flouride; 'x' is between about 4 through 1000.

13. (amended) An optical filter, as claimed in claim 1 incorporating additional dielectric spacers, configured to steepen the absorption characteristic edge and so square off filter performance.

14. (amended) An induced absorption optical filter as recited in claim 1 configured to operate in the wavelength band 8 to 12 μ m.

Claims 15 and 16 deleted

17. (amended) A laser incorporating the optical filter of claim 1 at on end of a resonator.

18. (amended) A laser incorporating a pair of optical filters as recited in claim 1 located at each end of a resonator.

Claims 19 to 24 deleted.


REMARKS

Applicants have amended the claims to facilitate the examination. A copy of the changes made to the claims by this amendment is attached as Exhibit A

Respectfully submitted,

STALLMAN & POLLOCK LLP

Dated: 11/10/07

By: 
Michael A. Stallman
Reg. No. 29,444

Attorneys for Applicant(s)

EXHIBIT A

1. (Amended) An [(optical)] filter comprising;
a dielectric stack of alternating [(relatively)] high and low refractive index layers;
[a dielectric spacer layer, in juxtaposition with]
an opaque, reflective metallic layer [or substrate]; and
a dielectric spacer layer located between the dielectric stack and the metallic layer, the filter having a resonant wavelength, at which wavelength incident radiation is channelled into, and absorbed by, the metallic layer [or substrate].
2. (amended) An [(optical)] filter, as claimed in Claim 1, [in which unique case] wherein the dielectric spacer layer has the same composition and thickness as one of the constituent layers in the dielectric stack[, and wherein it therefore appears that the stack is in direct Juxtaposition with the metallic layer or substrate].
3. (amended) An [(optical)] filter, as claimed in Claim 1 [or 2], wherein one of the dielectric stack and[/or] spacer layer, varies in thickness spatially, over the metallic layer [or substrate].
4. (amended) An [(optical)] filter, as claimed in [any of the preceding claims] claim 1, wherein one of the dielectric stack, and[/or] spacer layer, thickness varies circularly over the metallic layer [or substrate].
5. (amended) An [(optical)] filter, as claimed in [any of the preceding claims] claim 1, wherein one of the dielectric stack, and[/or] spacer layer thickness varies linearly over the metallic layer [or substrate].
6. (amended) An optical filter as recited in claim 1 wherein [A monolithic, selectively variable, or tunable-wavelength, narrow-band, absorption (optical) filter, comprising a dielectric stack, and/or spacer, of spatially varying-thickness, deposited upon an absorbent and reflective

metallic layer, or substrate,] the wavelength absorbed [varying] varies with [(linear and/or rotational)] position of [(the stack and/or spacer) filter], in relation to incident light.

7. (amended) An optical filter as recited in claim 1 wherein [A single, or multiple wavelength (tunable), (optical) filter, including a metallic layer, separated, by a dielectric spacer layer, of a low refractive index material, from a dielectric mirror stack, comprising alternating layers, respectively of the same (or similar) low refractive index material, and a relatively high refractive index material; a primary resonant wavelength occurring when] wherein the spacer layer is formed from a low refractive index material and is equal to even integer multiples of a quarter-wave [(optical thickness)], including a zero (absentee layer), and symbolically described as;

Substrate / M nL (HL)^x H / ambient

where:

M is the metal mirror thin film;

n = 0,2,4,6, etc...; even integer multiples of the quarter wave optical thickness of the spacer layer; and

H and L represent quarter wave optical thicknesses respectively of the high and low refractive index layers.

8. (amended) An optical filter as recited in claim 1 wherein [A single, or multiple wavelength (tunable) (optical) filter, including a metallic layer, separated by a dielectric spacer layer, of a high refractive index material, from a dielectric mirror stack, comprising alternating layers, respectively of the same (or similar) high refractive index material; and a relatively low refractive index material; a primary resonant wavelength occurring when] wherein the spacer layer is formed from a low refractive index material and is equal to odd integer multiples of quarter-wave (optical thickness), symbolically described as;

Substrate / M nH (LH)^x / ambient

where:

M is the metal mirror thin film;

n = 0,1,3,5,7,..., odd integer multiples of the quarter wave optical thickness of the spacer layer;

and H and L represent quarter wave optical thicknesses respectively of the high and low refractive index layers.

Claim 9 deleted

10. (amended) An optical filter as recited in claim 1 further [A single, or multiple wavelength (tunable) (optical) filter, with a dielectric reflector] comprising a tiered multi-layer stacking sequence of:

Substrate / M H (LH)⁴ / ambient where H and L equal one quarter-wave optical thicknesses, of relatively high and low refractive index materials, respectively, zinc sulphide and thorium flouride.

11. (amended) An optical filter as recited in claim 1 further [A single, or multiple (tunable) wavelength (optical) filter, with a dielectric reflector] comprising a tiered multi-layer stacking sequence of:

Substrate / M HHH (LH)⁴ / ambient

where H and L equal one quarter-wave optical thicknesses, of relatively high and low refractive index materials, respectively, zinc sulphide and thorium flouride.

12. (amended) An optical filter as recited in claim 1 further [A single, or multiple (tunable) wavelength (optical) filter, with a dielectric reflector] comprising a tiered multi-layer stacking sequence of:

Substrate / M (HL)²xH(LH)² / ambient where H and L equal one quarter-wave optical thickness, of relatively high and low refractive index materials, respectively, zinc sulphide and thorium flouride; 'x' is between about 4 through 1000 [for example x= 100].

13. (amended) An ([optical]) filter, as claimed in [any of the preceding claims], claim 1 incorporating additional dielectric spacers, configured to steepen the absorption characteristic edge and so square off filter performance.

14. (amended) An induced absorption ([optical]) filter as recited in claim 1 configured to operate in the wavelength band 8 to 12 μ m.

Claims 15 and 16 deleted

17. (amended) A laser incorporating [an Induced Absorption Filter (IAF)] the optical filter of claim 1 at one end of a resonator.

18. (amended) A laser incorporating [an Induced Absorption Filter (IAF),] a pair of optical filters as recited in claim 1 located at each end of a resonator.

Claims 19 to 24 deleted.

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'Induced Absorption Filter (IAF)'

This invention relates to optical interference filters, their adaptation to tunable filters and their deployment in lasers - in particular, but not exclusively, tunable lasers, or those which 'lase' at several (discrete) wavelengths.

- 5 An aspect of the invention is concerned with a selective, narrow-band (width), absorption filter.

Another aspect of the invention is concerned with a monolithic, continuously variable (wavelength) filter.

- 10 Yet another aspect of the invention is concerned with a laser deploying the subject filters, bounding an excitation medium.

A still further aspect of the invention is concerned with a tunable, or 'multiple-line', laser - configured to engender dedicated excitation, at a selectable one or more particular wavelengths.

- 15 The various aspects are generally applicable to a range of wavelengths, but on occasion particular emphasis is given to certain regions of the spectrum.

Terminology

Reference is made - in relation to optical properties of materials, and in particular successive layers of material, at certain wavelengths - to the terms refractive index, absorption or extinction (coefficient) and attendant qualifiers (relatively) high and low.

- 20 Generally, refractive index (RI) determines the proportion of light reflected at a boundary or interface with another material (medium), of different refractive index.

Thus, for example, at an interface between air (RI unity) and, say, germanium (RI of 4) some 36% of incident light is reflected.

In the present case, where relatively high and low RI materials are juxtaposed, the key factor is the RI differential.

Typically, a high refractive index material would be selected from the RI range 2 to 4, whereas a low refractive index material would be in the range 1.3 to 2.4.

- 5 Maximising RI differential allows optical coatings with fewer layers, subject to considerations of intrinsic stresses, transparency and mutual compatibility.

A high reflectivity can be considered as generally better than some 90%.

The other key property of extinction coefficient, or absorptance, concerns how much of incident light traversing an interface is absorbed, per unit length or thickness.

- 10 At an atomic level, the absorption mechanism involves an interaction between photons and atoms capable of being excited thereby - which depletes photon energy until exhausted.

Metals typically exhibit high extinction coefficients. Thus for gold, the value is 2, in the visible spectrum region, and 55 in the infra-red region, of some 10.6 microns.

- 15 If the extinction coefficient is low, a layer needs to be sufficiently thick to absorb all the light channelled into it.

Thus, absorption, by or through a layer, is determined by a combination of extinction coefficient and layer thickness factors.

- 20 Generally, the present case is concerned with extinction coefficients in the range 2 to 60, with a typical layer thickness of some 100nm.

Interference Filters

Many types of interference filter are known - including long wave-pass, short wave-pass, and band-pass filters, dielectric enhanced metallic reflectors, induced transmission filters and broad-band absorption filters.

An instance is a narrow-band, absorption filter. This absorbs, (or attenuates) strongly at a discrete wavelength, whilst being non-dissipative (eg highly reflective) in spectral regions both immediately above and below this wavelength.

5 Many such filter types are described in, for instance, 'Thin-Film Optical Filters', by H A Macleod, (2nd edition, published by Adam Hilger).

Broad-band absorption filter types are described in EP 0921 419 A1 'Revetment absorbeur de lumiere a haut pouvoir absorbant', of inventors Quesnel and Chaton.

Prefacing Statement of Invention

10 The present invention addresses a new class of thin-film, interference filter construction, which effects narrow-band absorption.

Versions of such a filter are useful in 'tuning' laser excitation and radiation, such as in a carbon dioxide (CO₂) lasing medium.

Background Art - Dielectric Filters

15 A simple (dielectric) band-pass filter consists of two dielectric 'stacks' - acting as (reflector) mirrors - disposed at opposite sides of a dielectric 'spacer' layer.

Resonance is set up, or engendered, (in the spacer layer) between such opposed (dielectric stack) reflectors.

This resonance causes, or allows, transmission of light, at a particular wavelength - in practice equal to half the optical thickness of the spacer layer.

20 A high level of reflectance (ie non-transmission) is achieved at both sides of a (transmission) pass-band.

Fabry-Perot Filter

One well-known type of (dielectric, interference) filter is the so-called Fabry-Perot filter.

The principles of the Fabry-Perot filter are described, for example, in the references:

5 'Thin Film Optical Filters', by H.A.Macleod, 2nd edition, published by Adam Hilger, pp238 to 257; and

The Optical Society of America's 'Handbook of Optics', published by McGraw Hill, pp8-76 to 8-80.

10 Fabry-Perot filters are based upon an interferometer of the same name, employing two identical reflecting surfaces, spaced apart by a set distance.

A Fabry-Perot filter contains the same essential components - namely two reflectors and a spacer.

The reflectors can either be metallic layers, or dielectric stacks.

15 Essentially, such a dielectric (reflector) stack is a (sequential) multi-layer, or tiered, structure - of alternating layers of differing refractive indices.

This stack acts like a partially or highly reflective mirror and has essentially no absorbing component.

It is important that the intervening spacer layer is a non-absorbing material.

Generally, a Fabry-Perot filter has three basic components, positioned in a particular relative disposition, or sequence, as follows:

- a 'partially or highly reflective' mirror,
- a non-absorbing, dielectric 'spacer' layer, and,
- 5 • a second, 'partially or highly reflective', mirror.

Light is typically incident upon a first mirror in this sequence.

Both partially or highly reflective mirrors typically have a near-unity reflectance factor (for certain reflected wavelengths).

10 In the particular case of a 'thin-film' Fabry-Perot filter, the two mirrors each commonly comprise (sequentially-stacked) tiered dielectric layers - of alternating (relatively) low and high refractive indices.

Here, again the reflectance factor of each thin-film mirror stack is close to unity, for certain wavelengths.

15 A Fabry-Perot filter has a resonance at a wavelength equal to one half of the optical thickness of the spacer layer.

Thus the thickness of the spacer layer is typically a 'half-wave' optical thickness.

In a thin-film Fabry-Perot filter, with all-dielectric layers, a very narrow wavelength band - centered at the resonant wavelength - is transmitted through the filter.

20 Incident light, at broad wavelength regions, on both sides of this narrow wavelength band, is highly reflected (again, a near-unity reflectance factor).

Although not generally accepted thin-film filter terminology, a thin-film, Fabry-Perot filter could be categorised as an Induced Transmission Filter (ITF).

Statement of InventionInduced Absorption Filter (IAF)

5 In certain respects, an Induced Absorption Filter (IAF), according to one aspect of the present invention, represents both a development of - and significant departure from - a Fabry-Perot filter, or ITF.

More specifically, in an IAF according to the invention, a second dielectric mirror stack of the ITF configuration is replaced by a highly reflective, opaque, metal layer.

10 The high extinction coefficient of this second mirror engenders narrow-band absorption rather than narrow- band transmission - thus representing a significant distinction from, and differentiation over, an ITF.

Retention of a spacer layer, preserves the three component configuration of a Fabry-Perot Filter, or ITF - and therefore its resonance.

However, a significant distinction over an ITF arises, since:

- 15
- a narrow wavelength band, centered at the resonant wavelength, is essentially not reflected (near-zero reflectance factor), and
 - the second mirror is opaque.

Thus, this narrow wavelength band is highly absorbed (by a factor of near-unity), in an IAF according to the invention.

20 Essentially, a filter according to the invention induces narrow-band absorption - hence the designation Induced Absorption Filter (IAF) - whilst highly reflecting (broad) wavelength bands, both above and below the absorbed wavelength band.

IAF General Case Embodiments

Generally, a thin-film IAF, according to the invention, is typically deposited upon a substrate, as the following layer sequence:

- a metal mirror (opaque metallic thin film),
- 5 • a dielectric 'spacer' layer, and
- a dielectric mirror stack.

Light is incident upon the dielectric mirror stack.

The metal layer thickness is not critical, provided it exceeds a threshold value, determined by its extinction coefficient.

- 10 Alternatively, a highly reflective metal substrate could replace the metal mirror. The substrate essentially provides mechanical support for a (fragile) thin film structure.

- 15 In the case of a Fabry Perot filter, a mounting substrate is transparent at the transmitted wavelength. However, for an IAF filter according to the invention - with an intervening metal layer - no light reaches the (mounting) substrate, so transmittance or absorbance is not an issue.

For laser filter applications, the resonant wavelength of the IAF is typically the laser wavelength to be suppressed.

In some cases, there may be a plurality of laser wavelengths to be suppressed.

- 20 An IAF according to the invention can accomplish this, based upon the following general rules:

Rule 1

If the dielectric spacer layer is, or comprises, a low refractive index material;

where the dielectric mirror stack comprises:

- the same (or similar) low refractive index material; and
- 5 • a (relatively) high refractive index material;

the primary resonant wavelength occurs when the spacer layer is equal to even integer multiples of quarter-waves (optical thickness), including zero (absentee layer).

The corresponding primary resonant wavelength equals the optical thickness of the quarter-wave - independently of the multiple of the selected quarter-wave thickness.

- 10 The overall stacking configuration can be described symbolically, as:

Substrate / M nL (HL)^x H /ambient

... where:

M is a metal mirror thin film;

- 15 'n' = 0,2,4,6, etc... is an even integer multiple of the quarter wave optical thickness of the spacer layer;

H and L represent quarter wave optical thicknesses, respectively of high and low refractive index layers; and

'x' is a number of pairs of H and L layers required to produce a high reflectance mirror.

Rule 2

If the dielectric spacer layer is, or comprises, a high refractive index material;

where the dielectric mirror stack comprises:

- the same (or similar) high refractive index material; and
- 5 • a low refractive index material;

the primary resonant wavelength occurs when the spacer layer is equal to odd integer multiples of quarter-waves (optical thickness), including zero.

10 The corresponding primary resonant wavelength equals the optical thickness of the quarter-wave - independently of the multiple of the selected quarter-wave optical thickness.

The overall stacking configuration can be described symbolically, as;

Substrate / M nH (LH)^x /ambient

n = 0,1,3,5,7,...

15 Rule 3

For both cases, whether the spacer layer is of either high or low refractive index, as the integer multiple of the quarter wave optical thickness is increased, the secondary resonant wavelengths move closer to the primary resonant wavelength.

20 The secondary resonant wavelengths are present, regardless of the integer multiple - and also occur for real number multiples in-between the prescribed integer multiples.

The required spacer layer thickness for the desired spacing of the resonant wavelengths can be directly calculated, based upon formulae for Fabry-Perot filters from standard thin-film texts.

Illustrated Example of Fabry-Perot Filter

5 A typical (all) dielectric Fabry-Perot filter construction is depicted in Figure 1 of the drawings.

A transparent spacer layer 14 is enclosed between two reflecting dielectric stacks 11, 13 - each a multi-layered tier of alternating refractive index materials.

10 Incident light radiation 12 is transmitted through this configuration 10 - at wavelengths proportional to the thickness of the spacer layer 14 .

Substrate 17, acts as a mechanical support for the thin film structure, and is transparent to transmitted light.

Typical overall filter performance is represented graphically in Figure 2.

15 Filter aspects of the present invention are concerned with variants of such a stacked array of multiple dielectric layers in juxtaposition.

Statement of Invention

According to one aspect of the invention,
an optical filter comprises
a dielectric stack
20 of alternating (relatively) high and low refractive index layers,
a dielectric spacer layer,
in juxtaposition with
an opaque, reflective metallic layer or substrate,
the filter having a resonant wavelength
25 at which wavelength incident radiation is channelled into,
and absorbed by, the metallic layer or substrate.

In other configurations, multiple dielectric stacks and spacers can be used according to conventional bandpass filter design techniques.

The common feature is that the lowermost reflector is metallic in nature, with a high reflectivity and extinction coefficient in the spectral region of operation.

5 These constructions result in a filter of high average reflectivity (say $\geq 99\%$) across a broad operating band, but which is also highly absorbing in a narrow wavelength band within the broader region. The width of the absorption feature is typically as low as 1% in bandwidth, with absorption maxima typically in the 80-99 % range,

10 Such a construction represents an essentially new type of thin film interference filter, one for which the term 'Induced Absorption Filter' (IAF) has been coined.

In characterising, or differentiating construction of an Induced Absorption Filter according to the invention, over known filter art, one of the dielectric reflector stacks in a conventional (Fabry-Perot type) filter is replaced with a metallic reflector element.

15 A particular spectral region of operation is from 8 to 12 μm ; although by suitable choice of materials the filter can be optimised to operate in any spectral region.

Illustrated Example of Induced Absorption Filter (IAF)

More specifically, referring to Figure 3 of the drawings, a dielectric stack 19, of alternating layers 16, 18 of different refractive index H, L, is disposed upon a transparent dielectric 'spacer' layer 20.

20 These in turn are disposed upon a metal layer 21, such as gold, with a high reflectivity and extinction coefficient.

The metal layer 21 could be a coating upon a substrate (not shown), or alternatively could be substituted by a metallic substrate (not shown).

25 The structure appears to incident radiation to be a bandpass filter, in that there are two reflectors, one on each side of a spacer layer.

Due to resonance within the spacer layer, one or more particular wavelengths try to pass through the structure, but these become absorbed within the metallic layer - due to the high extinction coefficient of the metal.

5 All other incident radiation is reflected with high efficiency. For at these wavelengths the combination of a metal layer and dielectric stack acts as an enhanced reflector.

As stated above a metal substrate could be used instead of a deposited metallic layer. In this case the device could be actively cooled if used in high power applications.

10 The overall Induced Absorption Filter (IAF) construction, according to one aspect of the invention, is straightforward - and in physical thickness amounts to less than half that of an equivalent Fabry-Perot band-pass filter.

Such an Induced Absorption Filter (IAF) can be fabricated by a graded thickness coating technology (described later), in order to achieve a tunable filter performance.

Firstly though, the application of Induced Absorption Filter technology to a laser, according to another aspect of the invention, will be described.

15 Laser Application of Induced Absorption Filter (IAF)

In some circumstances, the ability of lasers, such as a carbon dioxide (CO₂) medium laser, to operate at more than one wavelength - with an overall performance as depicted graphically in Figure 4 - can be detrimental.

20 Thus, in most applications, such as cutting, welding, etching and marking, it is desirable for the properties of the beam to remain constant throughout the operation.

It is not therefore beneficial if the laser 'drifts' - that is skips from one operating wavelength to another, or if it operates at several wavelengths simultaneously.

Most lasers consist of a tube of lasing medium (such as CO₂), contained between two (reflecting) mirrors.

Radiation travelling backwards and forwards between the two mirrors results in light amplification, by stimulated emission of radiation.

Supplementary Statement of Invention - Laser

5 According to another aspect of the invention
a laser resonator
is terminated by first and second mirrors,
bounding an intervening lasing medium,
which, upon being energised,
can provide (optical) gain,
10 at first and second wavelengths,
at least one of the mirrors
having sufficient reflectivity at the first wavelength,
that laser radiation is generated by the resonator,
upon excitation of the gain medium,
15 whilst being sufficiently absorptive,
at the second wavelength,
that laser radiation is not generated by the resonator, upon the same excitation.

The laser will only operate at wavelengths at which the mirrors are highly reflecting (ie reflectively efficient).

20 If it is desired to constrain the operating wavelength to, for instance 10.6 μm , it is possible, according to another aspect of the invention, to replace the mirrors with Induced Absorption Filters according to one aspect of the invention.

The Induced Absorption Filters prevent, inhibit, or suppress amplification of radiation at either side of a target wavelength.

25 Thus, in this instance, a filter 26 would be designed to absorb at, for instance, 10.5 μm , at one end of a laser tube 37, and a companion filter 28 at 10.7 μm , at the other - as depicted in Figure 7.

External excitation 36, applied to a lasing medium, in this instance CO₂ gas 38, confined within the tube, promotes a stimulated emission of radiation, or lasing, resonance.

5 Such radiation is allowed to exit at one end of the confinement tube 37, through a window 34 in the filter mirror 26.

Alternatively, if it is desired to use only one mirror, in order to constrain operation of the laser to one wavelength, an induced absorption 'comb' filter could be used - with an overall performance characteristic as depicted graphically in Figure 8.

Laser Tuning - for Cutting/Machining or Welding

10 Carbon dioxide (CO₂) lasers are often used to cut, machine or weld common fabrication materials, such as metals, wood and plastics.

Many materials, including most plastics, have a series of discrete absorption bands in the infrared.

15 By adoption of IAF technology of the present invention, a laser could be 'tuned' to operate at a wavelength corresponding to that of an absorption band of the material being cut.

Thus, rather than much of the energy being transmitted through the plastic, it would mostly be absorbed and so contribute to an energy transfer to the material.

The (cutting, machining or welding) operation would then become more efficient.

20 Thus a tuned laser would be able to cut or melt the material much more quickly.

Alternatively, a smaller, less expensive, laser than that of a conventional laser employed hitherto, could be used for the task.

A simple IAF filter device could be used actively to tune carbon dioxide lasers.

Laser Marking

Lasers are often used to apply identification marks, or decorative pattern, for materials such as plastics, woods or metals.

5 Improved edge definition - and therefore, a sharper image - is obtained with monochromatic laser radiation, achievable with an IAF tuned laser according to the present invention.

3D Filter Coating

10 The Applicants have developed a thin film, three-dimensional (3D) variable coating technology - the subject of their pending UK Patent Application 9722295.4, and corresponding US Patent Application 08/891,750 and US CIP Application No: 09/233903.

This enables controlled (coating) thickness, or depth, grading of optical thin films, in relation to spatial position, upon a substrate.

15 In an Induced Absorption Filter according to one aspect of the invention, the wavelength at which radiation is absorbed is dependent only upon the thickness of the dielectric *spacer* layer.

Taken in conjunction with the Applicants' aforementioned variable coating thickness technique, a variable *wavelength absorption* filter is achievable.

Supplementary Statement of Invention20 - Variable Filter

According to yet another aspect of the invention,
dielectric layers/stack and/or the spacer are graded (or progressively varied)
say, circularly and/or linearly,
in thickness,
25 over the surface of a filter,
whereby,

at different positions on the surface,
a different wavelength is absorbed.

Thus, by rotating, or translating, circular or linear variable wavelength induced
absorbing filters relative to incident light, beam tuning is achieved.

- 5 With a filter position/orientation control mechanism, such variable coating filters could
be operated co-operatively in tandem, in order to constrain light amplification at any
wavelength at which a laser is capable of operating.

Known Art Relating to the Use of Diffraction Gratings in the Tuning of Laser Radiation

- 10 In effect, the filters form an (relatively inexpensive) alternative to the diffraction grating
(and associated mechanisms), commonly used to perform a tuning function, as
exemplified by, say, the references:

- 'An independently controllable multi-line laser resonator and its use in multi-
frequency injection locking', by R.L.Sheffield, S.Nazemi and A.Javan,
Advanced Physics Letters 29, pp 588 to 590; and
- 15 • 'A compact, simple stepping motor controlled laser grating mount', by
T.W.Carmen, P.E.Dyer and P.Monk, J. Phys E. 13).

Whilst carbon dioxide lasers have been referred to in the illustrative example above,
the tunable filter technique according to the invention could be applied to other areas
of the (optical) spectrum, such as the visible, near, or medium wave infrared.

20 Specific Embodiments

There now follows a description of some particular embodiments of the invention, by
way of example only, with reference, on occasion, to the accompanying diagrammatic
and schematic drawings.

- 25 A dielectric stack filter coating utilises sequentially-tiered, paired layers 16, 18 of
(relatively) high H (or medium M) and low L refractive index materials, their optical

thickness being related to the intended operating wavelength.

Such 'index-pairs' (H-L) could consist of zinc sulphide or selenide, in combination with either thorium fluoride, or germanium.

The layers are deposited alternately.

- 5 Beneath the dielectric stack is a dielectric spacer layer, typically but not necessarily comprising one of the two materials used within the stack.

The quarter-wave optical thickness of this layer is close to, but not necessarily exactly equal to, a multiple (see 'Rules') of the wavelength at which absorption is desired.

In the examples below, the material pair used is:

- 10
- zinc sulphide - of quarter-wave optical thickness 'H'; and
 - thorium fluoride - of quarter-wave optical thickness 'L'.

As with band-pass filters, there is an almost unlimited variety of constructions that could be used.

- 15 The design examples shown below are relatively straightforward, and use gold (Au) as a metal M layer.

Example 1:

Substrate / M H (LH)⁴ / ambient

... where H and L equal one quarter-wave optical thicknesses, of relatively high and low refractive index materials, respectively.

Example 2:**Substrate / M HHH (LH)⁴ / ambient**

... where H and L equal one quarter-wave optical thicknesses, of relatively high and low refractive index materials, respectively.

5 *Calculated* spectral performances of Examples 1 and 2 are depicted in Figure 5.

Actual performance of Example 1 is shown in Figure 6.

10 Those skilled in the art will recognise that additional dielectric spacers (not shown) could be incorporated, in order to steepen the absorption edge (or sharpen the transition between absorption and reflection) - and so 'square off' the performance of the filters.

Yet another aspect of the invention provides an Induced Absorption Comb Filter, of configuration:

Example 3:**Substrate / M (HL)² xH(LH)² / ambient**

15 ... where H and L equal one quarter-wave optical thickness, of relatively high and low refractive index materials, respectively.

and x = lies generally in the range of about 4 through 1000; for example x = 100.

The performance of this filter (where x=100) is depicted in Figure 8.

Component List

	10	filter configuration
	11	dielectric stack (Fabry-Perot filter)
	12	incident light
5	13	dielectric stack (Fabry-Perot filter)
	14	dielectric spacer (Fabry-Perot filter)
	16	high (H) refractive index material
	17	substrate (Fabry-Perot filter)
	18	low (L) refractive index material
10	19	dielectric stack (IAF)
	20	dielectric (transparent) spacer layer (IAF)
	21	metal layer (IAF)
	26	filter/mirror
	28	filter/mirror
15	34	window
	35	tunable laser
	36	excitation
	37	laser confinement tube
	38	lasing medium (eg CO ₂ gas)
20	39	LASER beam

Claims

1.

An (optical) filter comprising
a dielectric stack
5 of alternating (relatively) high and low refractive index layers,
a dielectric spacer layer,
in juxtaposition with
an opaque, reflective metallic layer or substrate,
the filter having a resonant wavelength,
10 at which wavelength incident radiation is channelled into,
and absorbed by, the metallic layer or substrate.

2.

An (optical) filter,
as claimed in Claim 1,
15 in which unique case the dielectric spacer layer
has the same composition and thickness
as one of the constituent layers in the dielectric stack,
and wherein it therefore appears that the stack is in direct juxtaposition
with the metallic layer or substrate.

20 3. {spatially-variable depth}

An (optical) filter, as claimed in Claim 1 or 2,
wherein the dielectric stack and/or spacer,
varies in thickness spatially,
over the metallic layer or substrate.

4. {circular variability}

An (optical) filter, as claimed in any of the preceding claims, wherein the dielectric stack, and/or spacer, thickness varies circularly over the metallic layer or substrate.

5

5. {linear variability}

An (optical) filter, as claimed in any of the preceding claims, wherein the dielectric stack, and/or spacer, thickness varies linearly over the metallic layer or substrate.

6. {tunability}

10

A monolithic, selectively variable, or tunable-wavelength, narrow-band, absorption (optical) filter, comprising a dielectric stack, and/or spacer, of spatially varying-thickness, deposited upon an absorbent and reflective

15

metallic layer, or substrate, the wavelength absorbed varying with (linear and/or rotational) position of (the stack and/or spacer) filter, in relation to incident light.

7. {stacking sequence - Rule 1}

A single, or multiple wavelength (tunable),
 (optical) filter,
 including a metallic layer, separated,
 by a dielectric spacer layer,
 of a low refractive index material,
 from a dielectric mirror stack,
 comprising alternating layers, respectively of
 the same (or similar) low refractive index material,
 and a relatively high refractive index material;
 a primary resonant wavelength occurring
 when the spacer layer is equal to
 even integer multiples
 of a quarter-wave (optical thickness),
 including zero (absentee layer),
 and symbolically described as;

Substrate / M nL (HL)^x H /ambient

... where:

M is the metal mirror thin film;

n = 0,2,4,6, etc... ; even integer multiples of the quarter wave optical thickness of the spacer layer; and

H and L represent quarter wave optical thicknesses respectively of the high and low refractive index layers.

8. {stacking sequence - Rule 2}

A single, or multiple wavelength (tunable)
(optical) filter,
including a metallic layer, separated by
5 a dielectric spacer layer,
of a high refractive index material, from
a dielectric mirror stack,
comprising alternating layers, respectively of
the same (or similar) high refractive index material;
10 and a relatively low refractive index material;
a primary resonant wavelength occurring
when the spacer layer is equal to
odd integer multiples of quarter-wave (optical thickness),
symbolically described as;

15 **Substrate / M nH (LH)^x / ambient**

... where:

M is the metal mirror thin film;

20 $n = 0, 1, 3, 5, 7, \dots$, odd integer multiples of the quarter wave optical thickness of the
spacer layer; and

H and L represent quarter wave optical thicknesses respectively of the high and low
refractive index layers.

9. {stacking sequence - Rule 3}

A single, or multiple wavelength (tunable)
 (optical) filter,
 including a metallic layer, separated,
 by a dielectric spacer layer,
 of either high or low refractive index material, from
 a dielectric mirror stack,
 comprising alternating layers, respectively of
 relatively high and low refractive index material;
 the spacer layer thickness being
 integer multiples of quarter-waves (optical thickness),
 and, as this multiple increases,
 secondary resonant wavelengths move closer
 to the primary resonant wavelength.

10. {stacking sequence}

A single, or multiple wavelength (tunable)
 (optical) filter,
 with a dielectric reflector comprising
 a tiered multi-layer stacking sequence of:

Substrate / M H (LH)⁴ / ambient

... where H and L equal one quarter-wave optical thicknesses, of relatively high and low refractive index materials, respectively, zinc sulphide and thorium flouride.

11. {alternative stacking sequence}

A single, or multiple (tunable) wavelength (optical) filter,
with a dielectric reflector comprising
a tiered multi-layer stacking sequence of:

5 **Substrate / M HHH (LH)⁴ / ambient**

... where H and L equal one quarter-wave optical thicknesses, of relatively high and low refractive index materials, respectively, zinc sulphide and thorium flouride.

12. {further stacking sequence}

10 A single, or multiple (tunable) wavelength (optical) filter,
with a dielectric reflector comprising
a tiered multi-layer stacking sequence of:

Substrate / M (HL)² xH(LH)² / ambient

... where H and L equal one quarter-wave optical thickness, of relatively high and low refractive index materials, respectively, zinc sulphide and thorium flouride;

15 'x' is between about 4 through 1000;
for example x = 100.

13. {squared-off performance}

20 An (optical) filter, as claimed in any of the preceding claims,
incorporating additional dielectric spacers,
configured to steepen the absorption characteristic edge
and so 'square off' filter performance;

14.

An induced absorption (optical) filter,
configured to operate
in the wavelength band 8 to 12 μ m.

5

15.

A tunable absorption (optical) filter,
with a spatially varying reflector coating depth,
upon an absorbent layer or substrate,
and configured to operate
in the wavelength band 8 to 12 μ m.

10

16.

A tunable (optical) filter,
substantially as hereinbefore described,
with reference to, and as shown in,
the accompanying drawings.

15

17.

A laser,
incorporating an Induced Absorption Filter (IAF),
at one end of a resonator.

18.

A laser,
incorporating an Induced Absorption Filter (IAF),
at each end of a resonator.

5

19.

A laser,
substantially as hereinbefore described,
with reference to, and as shown in,
the accompanying drawings.

10

20.

A tunable or multi-line laser,
incorporating an Induced Absorption Filter (IAF),
at one end of a resonator,
and configured to operate
in the waveband 8 to 12 μm .

15

21.

A tunable or multi-line laser,
incorporating an Induced Absorption Filter (IAF),
at each end of a resonator,
bounding a lasing medium,
and configured to operate
in the waveband 8 to 12 μm .

20

22.

A tunable, or multi-line, laser
incorporating a fixed, or variable,
wavelength Induced Absorption Filter (IAF),
as claimed in any of the preceding claims.

5

23.

A tunable, or multi-line, laser
substantially as hereinbefore described,
with reference to, and as shown in,
the accompanying drawings.

10

24. {laser resonator}

A laser resonator,
terminated by first and second mirrors,
bounding an intervening lasing medium,
which, upon being energised,
can provide (optical) gain,
at first and second wavelengths;
at least one of the mirrors
having sufficient reflectivity, at the first wavelength,
that laser radiation is generated,
by the resonator,
upon excitation of the gain medium,
whilst being sufficiently absorptive,
at the second wavelength,
that laser radiation is not generated
by the resonator,
upon the same excitation.

15

20

25

(19) World Intellectual Property Organization
International Bureau



(43) International Publication Date
18 January 2001 (18.01.2001)

PCT

(10) International Publication Number
WO 01/04670 A1

(51) International Patent Classification: **G02B 5/28**,
5/08, H01S 3/08

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(21) International Application Number: PCT/GB00/02549

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(22) International Filing Date: 10 July 2000 (10.07.2000)

(25) Filing Language: English

(26) Publication Language: English

(30) Priority Data:
9916339.6 13 July 1999 (13.07.1999) GB

(81) Designated States (*national*): AE, AL, AM, AT, AU, AZ,
BA, BB, BG, BR, BY, CA, CH, CN, CR, CU, CZ, DE, DK,
DM, EE, ES, FI, GB, GD, GE, GH, GM, HR, HU, ID, IL,
IN, IS, JP, KE, KG, KP, KR, KZ, LC, LK, LR, LS, LT, LU,
LV, MA, MD, MG, MK, MN, MW, MX, NO, NZ, PL, PT,
RO, RU, SD, SE, SG, SI, SK, SL, TJ, TM, TR, TT, TZ, UA,
UG, US, UZ, VN, YU, ZA, ZW.

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(84) Designated States (*regional*): ARIPO patent (GH, GM,
KE, LS, MW, MZ, SD, SL, SZ, TZ, UG, ZW), Eurasian
patent (AM, AZ, BY, KG, KZ, MD, RU, TJ, TM), European
patent (AT, BE, CH, CY, DE, DK, ES, FI, FR, GB, GR, IE,
IT, LU, MC, NL, PT, SE), OAPI patent (BF, BJ, CF, CG,
CI, CM, GA, GN, GW, ML, MR, NE, SN, TD, TG).

(72) Inventors; and

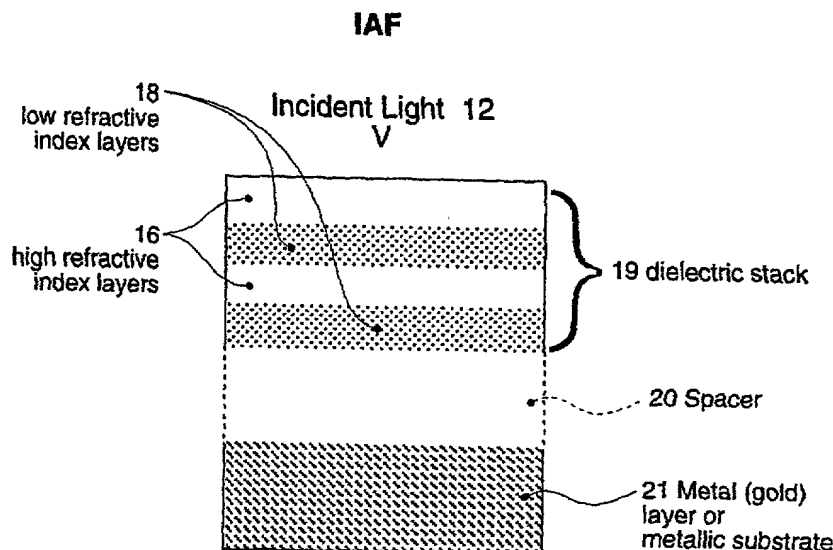
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Ashville Way, Whetstone, Leicestershire LE8 6NU (GB).
FISHER, Dennis, G. [US/US]; Coherent Auburn Group,

Published:

— With international search report.

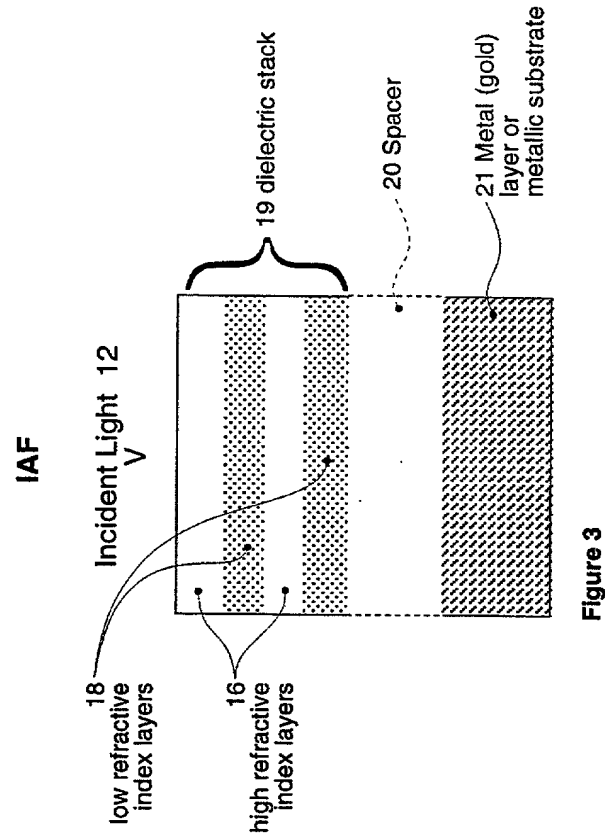
[Continued on next page]

(54) Title: INDUCED ABSORPTION FILTER (IAF)



(57) Abstract: An optical filter uses a multi-layer, stack of alternating dielectric layers (16, 18) of different refractive indices, a dielectric spacer layer (20) and metal layer (21), to achieve a narrow overall absorption bandwidth, with high reflectance upon either side. A tunable (optical) filter variant uses a dielectric stack and spacer coating of spatially-varying thickness, that is a coating of depth varying, say linearly and/or circularly, according to position across an absorbent layer or substrate, whereby, at different positions on the surface, a different wavelength is absorbed. A tunable laser (35) uses opposed tunable filters (26, 28) bounding a lasing medium (38), such as CO₂ gas, for selective variable stimulated emission of radiation (39).

WO 01/04670 A1



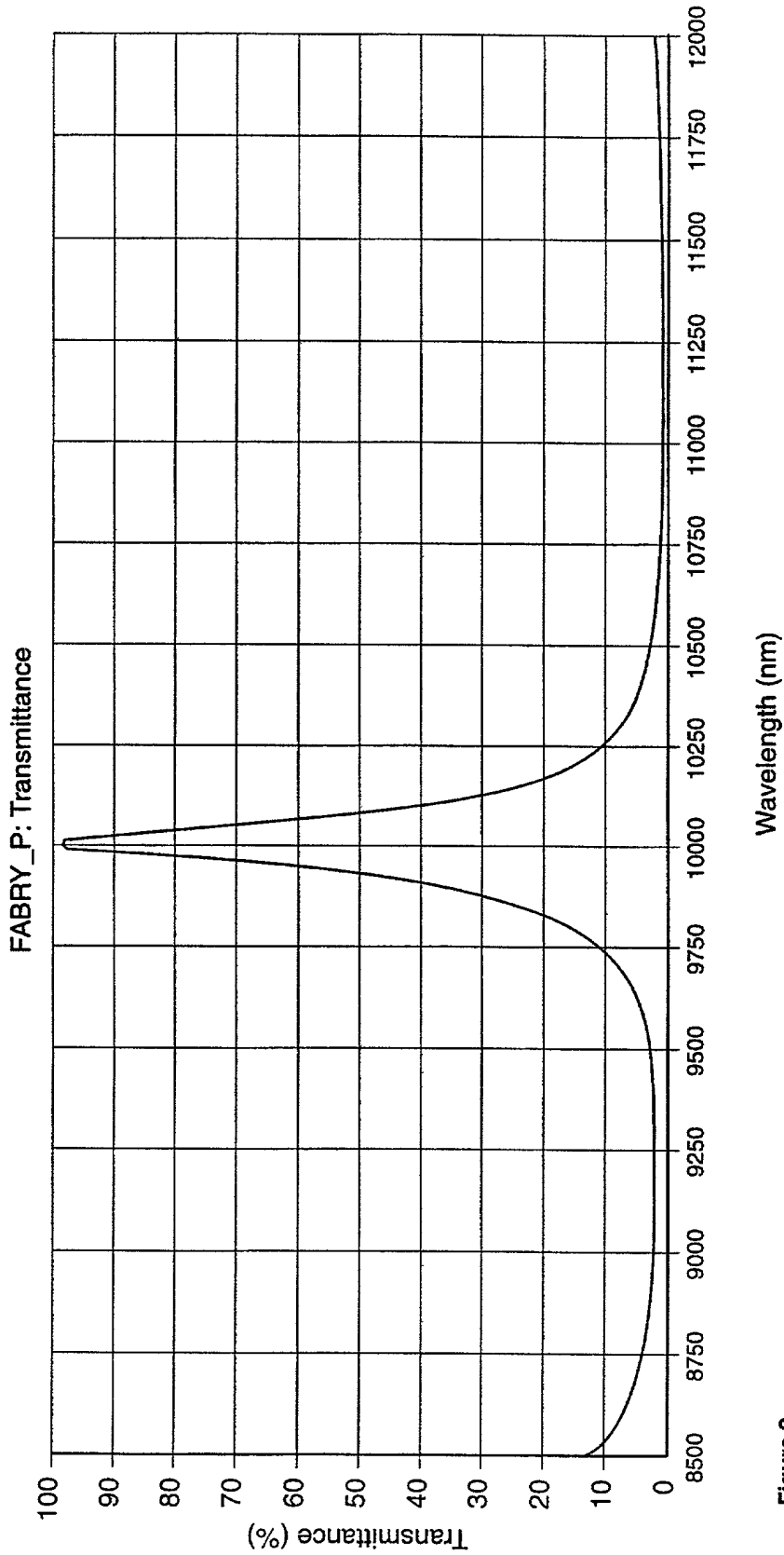


Figure 2

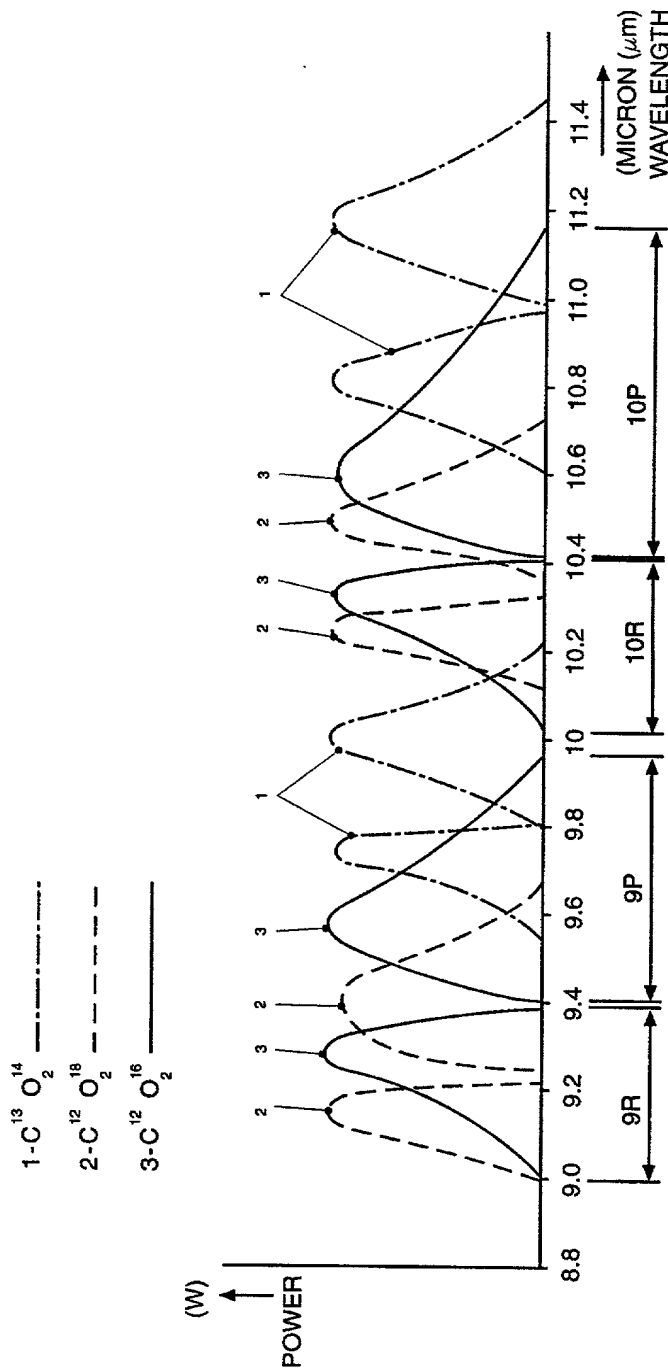


Figure 4

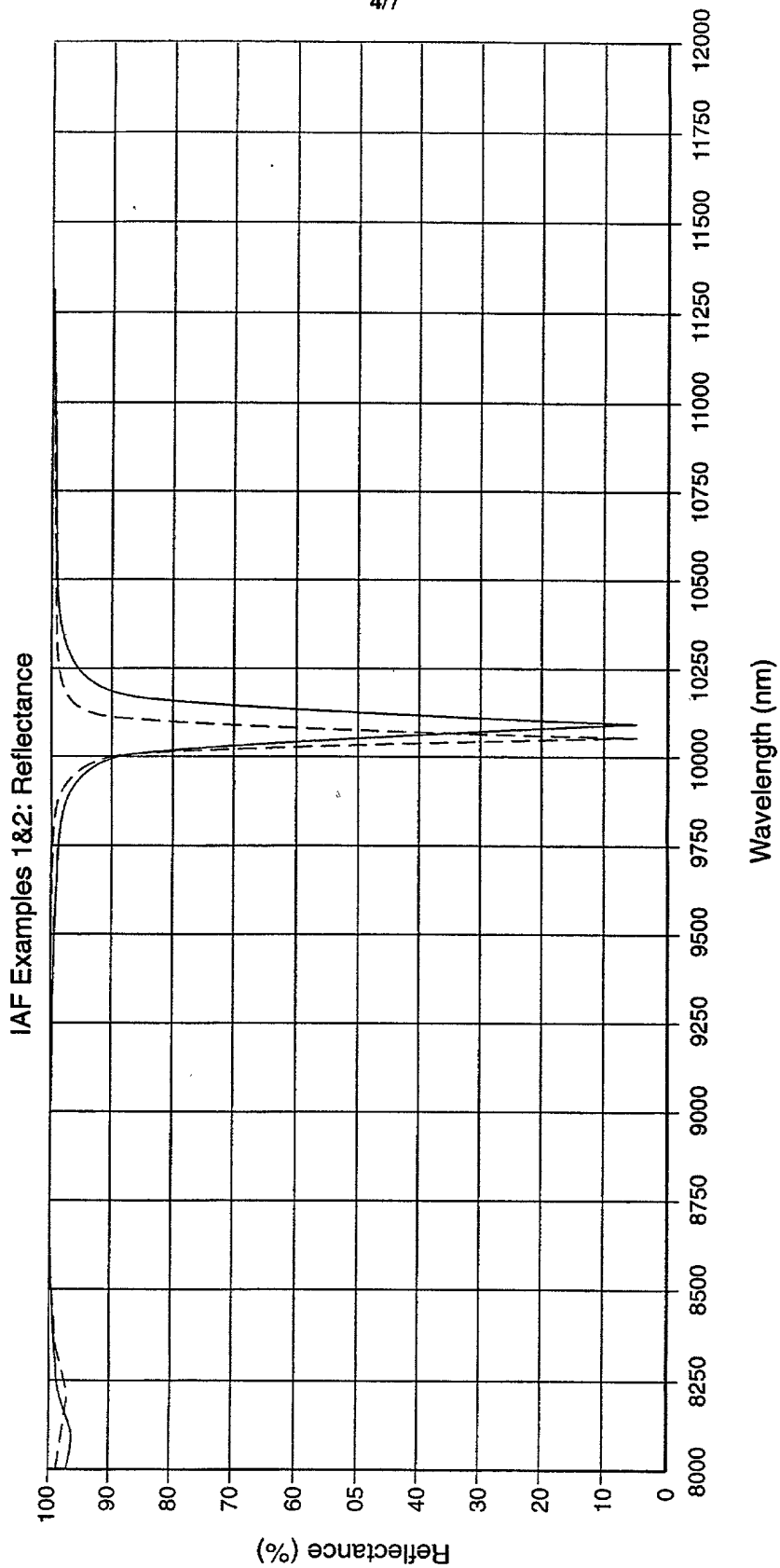


Figure 5

Performance of Actual IAF : Example 1

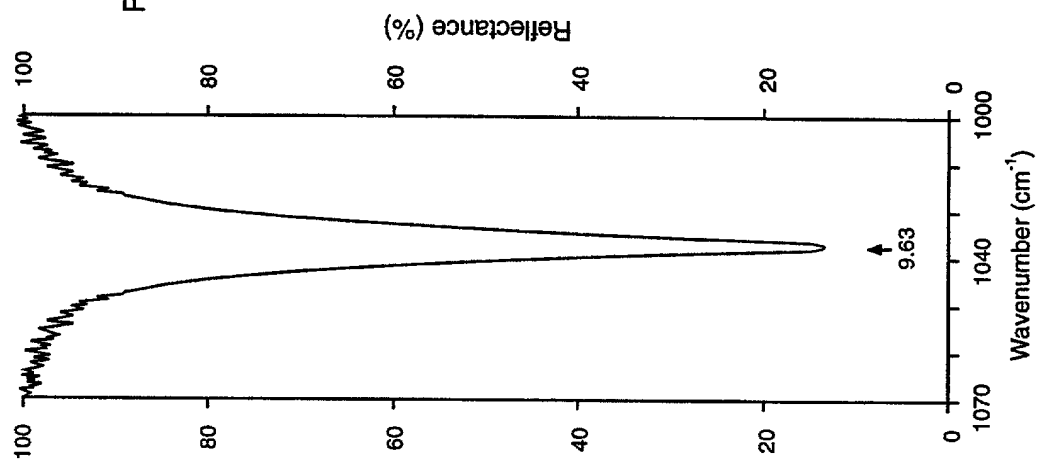


Figure 6

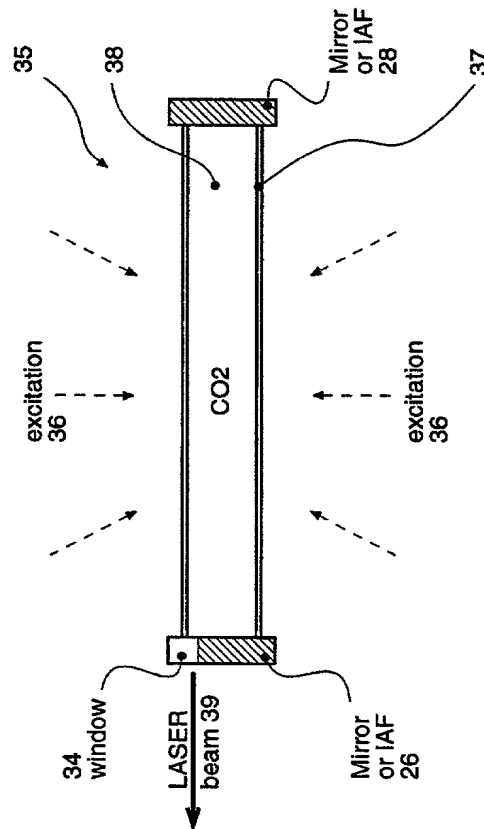


Figure 7

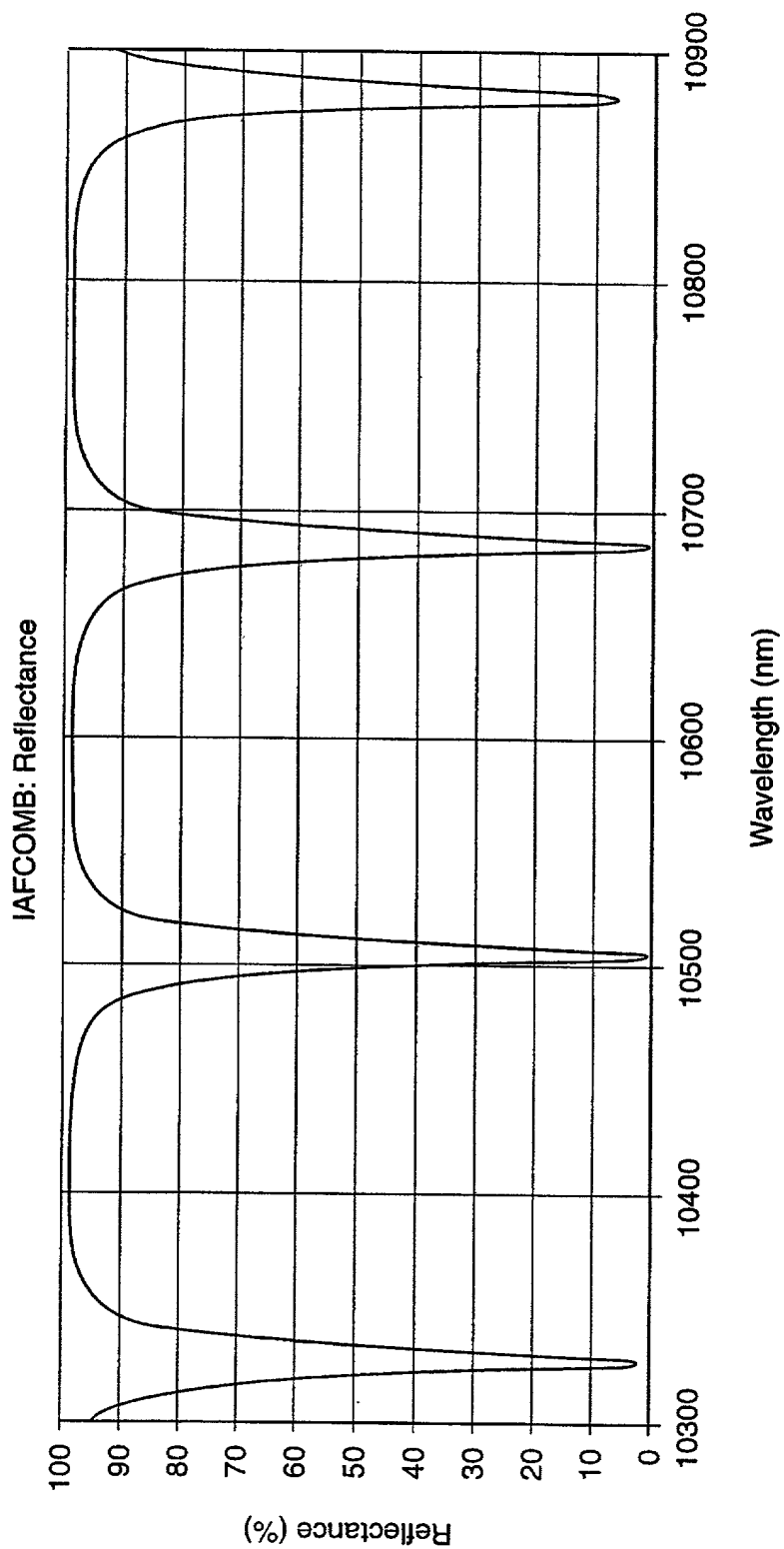


Figure 8

#6

Docket No.
COHP-4570

Declaration and Power of Attorney For Patent Application

English Language Declaration

As a below named inventor, I hereby declare that:

My residence, post office address and citizenship are as stated below next to my name,

I believe I am the original, first and sole inventor (if only one name is listed below) or an original, first and joint inventor (if plural names are listed below) of the subject matter which is claimed and for which a patent is sought on the invention entitled
INDUCED ABSORPTION FILTER (IAF)

the specification of which

(check one)

☐ is attached hereto.

☒ was filed on July 10, 2000 as United States Application No. or PCT International Application Number PCT/GB00/02549 (US 10/031,209)
and was amended on _____

(if applicable)

I hereby state that I have reviewed and understand the contents of the above identified specification, including the claims, as amended by any amendment referred to above.

I acknowledge the duty to disclose to the United States Patent and Trademark Office all information known to me to be material to patentability as defined in Title 37, Code of Federal Regulations, Section 1.56.

I hereby claim foreign priority benefits under Title 35, United States Code, Section 119(a)-(d) or Section 365(b) of any foreign application(s) for patent or inventor's certificate, or Section 365(a) of any PCT International application which designated at least one country other than the United States, listed below and have also identified below, by checking the box, any foreign application for patent or inventor's certificate or PCT International application having a filing date before that of the application on which priority is claimed.

Prior Foreign Application(s)

Priority Not Claimed

GB 9916339.6

GB

13 July 1999

(Number)

(Country)

(Day/Month/Year Filed)

☐

(Number)

(Country)

(Day/Month/Year Filed)

☐

(Number)

(Country)

(Day/Month/Year Filed)

☐

I hereby claim the benefit under 35 U.S.C. Section 119(e) of any United States provisional application(s) listed below:

(Application Serial No.)

(Filing Date)

(Application Serial No.)

(Filing Date)

(Application Serial No.)

(Filing Date)

I hereby claim the benefit under 35 U. S. C. Section 120 of any United States application(s), or Section 365(c) of any PCT International application designating the United States, listed below and, insofar as the subject matter of each of the claims of this application is not disclosed in the prior United States or PCT International application in the manner provided by the first paragraph of 35 U.S.C. Section 112, I acknowledge the duty to disclose to the United States Patent and Trademark Office all information known to me to be material to patentability as defined in Title 37, C. F. R., Section 1.56 which became available between the filing date of the prior application and the national or PCT International filing date of this application:

(Application Serial No.)

(Filing Date)

(Status)
(patented, pending, abandoned)

(Application Serial No.)

(Filing Date)

(Status)
(patented, pending, abandoned)

(Application Serial No.)

(Filing Date)

(Status)
(patented, pending, abandoned)

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

POWER OF ATTORNEY: As a named inventor, I hereby appoint the following attorney(s) and/or agent(s) to prosecute this application and transact all business in the Patent and Trademark Office connected therewith. *(list name and registration number)*

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